**ATTACHMENT B**

**RESPONSE FORM**

**C001193 – ENTERPRISE RISK MANAGEMENT SOFTWARE**

**PROPOSER INFORMATION**

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| **Proposer Name:** |  |
| **Contact Person:** |  |
| **Address:** |  |
| **Phone Number:** |  |
| **E-mail:** |  |
| **Identify Subcontractors (if applicable), and role:** |  |
| **Proposer Business Categories (check all that apply):** | [ ]  **A Minority- or Woman-Owned Business Enterprise (M/WBE) certified by the NYS Empire State Development Corporation**[ ]  **A Service-Disabled Veteran-Owned Business certified by the NYS Office of General Services** |

**MINIMUM QUALIFICATIONS**

**Proposers must meet the following Minimum Qualifications in order to be eligible to submit a proposal. Failure to meet these Minimum Qualifications will results in a proposal being found non-responsive and eliminated from consideration.**

1. The proposed Solution must specialize in enterprise risk management and have the ability to perform risk assessments and record testing results.

[ ]  Yes [ ]  No

1. The proposed Solution must be cloud-based.

[ ]  Yes [ ]  No

1. The proposer must have successfully implemented the proposed Solution in at least two organizations with 2,000 or more employees, at least one of which must be a public sector entity, within the previous six years, preceding the proposal due date.

[ ]  Yes [ ]  No

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| **Organization Name** | **Contact****(Name, Phone, Email)** | **Organization # of Employees** | **Dates of Implementation** |
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1. The Project Manager must have a minimum of two years of experience implementing the proposed Solution.

[ ]  Yes [ ]  No

Complete the table below with the name, number of years of experience, and description of the experience for the proposed Project Manager. Attach a resume or professional bio for the proposed individual. Add additional rows if necessary.

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| **Project Manager Name:** |  |
| **Client Name** | **Project Dates****(MM/YY – MM/YY)** | **Brief Description** |
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1. The proposed Solution must have the ability to integrate the most recent COSO Framework within the risk assessment.

[ ]  Yes [ ]  No

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**STAFFING**

Complete the table below with names for the proposed Project Managers, Analysts, and Trainers,

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| **Title** | **Name(s)** |
| Project Manager |  |
| Analyst  |  |
| Trainer |  |

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**GENERAL RESPONSES**

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| 1. Describe your Solution overall including how it is distributed (software installation, browser, etc.) and components. Describe how your Solution meets OSC’s requirements. Broadly describe its enterprise risk management and risk register features. Describe any post-implementation assistance and support included in the base subscription fee. Describe any other features you want to promote.
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| 1. Describe how the Risk Register is managed from an administrative **and** a business user perspective. Describe how each can create/update/delete risks and create relationships with the risks (such as relating them to an organization’s divisions, strategic priorities, or to other risks). Describe how risks can be rated and/or measured.
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| 1. Describe how OSC could model its organizational structure in your Solution and assign access based on those structures. Describe any hierarchies or relationships available. For example, OSC has divisions, divisions have bureaus, and bureaus may be further divided. How would your Solution reflect that structure?
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| 1. Describe your Solution’s risk assessment process, capabilities, and configuration options. Describe the ability for OSC to configure questionnaires.
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| 1. Describe how your Solution tracks and displays risks, controls, testing of controls, corrective actions, and updates to these items.
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| 1. Describe your Solution’s reporting capabilities (ad hoc, out of box, customizable, analytics, dashboards, etc.).
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| 1. Describe your Solution’s graphical user interface and how it allows users to easily navigate components.
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| 1. Describe the implementation of your Solution, including data migration, conversion, and timeline of milestones. Describe the intake and update process for post implementation change requests.
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| 1. Provide OSC with an initial implementation plan that includes all phases, deliverables, milestones and payment gates for the implementation of the Solution.
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| 1. Explain how the Solution will integrate information with the Committee of Sponsoring Organizations of the Treadway Commission’s (COSO) Internal Control – Integrated Framework (Framework). How will it assist organizational units in complying with the Framework? How are updates to the Framework integrated into the Solution?
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| 1. Describe how you will train OSC staff to use the Solution. Outline the training sessions, training delivery, materials provided, and/or built-in assistance for users.
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| 1. Describe Proposer’s customer service availability and process for responding to, and escalating, customer service requests.
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**PREFERENCES**

The proposed Solution must meet the mandatory requirements listed in Attachment A. Failure to meet the mandatory requirements will result in a proposal being found non-responsive and eliminated from consideration.

1. **Solution Preferences**

OSC has also identified preferred Solution functionality in Attachment A. While not mandatory, proposers are encouraged to identify which preferred functionality its Solution meets for evaluation purposes.

In the table below identify which preferences the Solution meets and a brief description. If the Solution does not meet the preference, the response may be left blank.

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| **Preferred Solution Functionality** | **Proposer Response** |
| Can store and relate risk to the OSC organization structural, aka “org chart.” |  |
| Allows Administrators to confirm edits made by business users to their list of functions and ratings. |  |
| Allows business users to report real time and post hoc high-risk incidents. Incidents are high-risk events that occurred or risks that were realized and had a high impact. |  |
| Has the ability to generate internal control scorecards by organizational unit and a compilation scorecard for all organizational units (e.g., “out of the box” reports that could include how many unmitigated risks, and/or how effective controls are). |  |
| Includes ad-hoc reporting functionality to facilitate data analysis. |  |
| Includes dashboard functionality so important information can be shared with stakeholders with some customization per viewer (e.g., “out of the box” dashboards that show risks of the organizational unit and/or the ability for the user to add/remove metrics). |  |
| Recognizes exceptions reported by business users across the organization that can be interrelated and use data analytics or other reporting features to create a combined risk score that differs from the sum of the individual risks at the business unit level. |  |
| Includes advanced analytics so it can stay up to date on risks and be well informed of future issues, such as ability to determine risks that are not yet critical but could be in the near future (e.g., predictive analysis, risk analysis, quantitative impact). |  |
| Includes reports with relevant graphical options (e.g., bar charts, heat maps, line chart, histograms). |  |
| Provides the functionality to allow business users to submit risk incidents and details, including date of incident and corrective actions taken or planned to be taken. |  |
| Has functionality to link risk incidents to related business functions. |  |
| Has the ability to apply the COSO Framework to each organizational unit’s system of internal control and identify noncompliance by organizational unit. |  |
| Has the ability to export formatted information into MS Excel or other MS products. |  |
| Has the ability to integrate their data with third-party systems, such as Tableau. |  |

1. **Support Preferences**

OSC has also identified preferences for Customer Service/Technical Support and Training in Attachment A. While not mandatory, proposers are encouraged to identify which services are available for evaluation purposes.

In the table below identify which preferred services are available and provide a brief description. If the services do not meet the preference, the response may be left blank.

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| **Preferred Support** | **Proposer Response** |
| Customer service and technical support to be available at least from 8:00 a.m. to 5:00 p.m. ET, Monday through Friday, except for New York State holidays. |  |
| Provides on demand training, which may include live instruction or prerecorded videos, and provide training documentation, including step-by-step instructions on how to use the Solution. |  |
| The Trainer is available to respond to questions within one business day of receiving a request. |  |

1. **Implementation Preferences**

OSC has also identified preferences for Implementation of services in Attachment A. While not mandatory, proposers are encouraged to identify which services are available for evaluation purposes.

In the table below identify which preferred services are available and provide a brief description. If the services do not meet the preference, the response may be left blank.

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| **Preferred Implementation Timeline** | **Proposer Response** |
| OSC prefers the implementation be completed within nine months of commencement of the Agreement |  |

1. **Insurance Preferences**

OSC has also identified preferences for Insurance Coverage (see Draft Contract, Section XII (Confidentiality and Security), Subsection “H” (Cybersecurity Insurance). While not mandatory, proposers are encouraged to identify which services are available for evaluation purposes.

In the table below identify which preferred services are available and provide a brief description. If the services do not meet the preference, the response may be left blank.

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| **Preferred Insurance Requirements** | **Proposer Response** |
| OSC prefers that the Contractor have insurance coverage and limits commensurate with the nature of the Services to be provided (although the existence of such coverage is not and shall not be a cap on Contractor’s liability or indemnification obligations, if any, under the final contract). |  |
| OSC prefers that such insurance coverage include cyber liability coverage that covers financial losses resulting from data breaches or other cyber events that negatively impact OSC data. |  |
| OSC prefers that the Contractor agree to include OSC, including its officers and employees as additional insureds, from an insurer who is A.M. Best rated, at least A: VII, and that this coverage is primary as to claims involving the State. |  |